

#### IN THE UNITED STATES PATENT AND TRADEMARK OFFICE

**APPLICANTS:** 

Hannel et al.

**APPLICATION NO.:** 

10/019,101

FILED:

December 20, 2001

TITLE:

Query Interface to Policy Server

**EXAMINER:** 

Leroux

**ART UNIT:** 

2161

ATTY.DKT.NO.:

**PA3545US** 

#### CERTIFICATE OF MAILING UNDER 37 C.F.R. § 1.8

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Kenneth M. Kuslow

Kenneth M. Kaslow

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## SUPPLEMENTAL INFORMATION DISCLOSURE STATEMENT Under 37 C.F.R. §§ 1.56, and 1.97-1.98

SIR:

Pursuant to the provisions of 37 C.F.R. §§ 1.56 and 1.97-98, enclosed herewith is form PTO-SB-08 listing several references. A copy of each patent reference is no longer submitted pursuant to the OG Notice of August 5, 2003. A copy of the cited non-patent and foreign references are not produced as those particular references have been previously produced in the parent applications—U.S. patent application number

09/034,507 and 09/720,277; the present application claims priority benefit to application numbers 09/034,507 and 09/720,277 under 35 U.S.C. § 120. As such, a copy of these references are not provided pursuant to 37 C.F.R. § 1.98(d).

The Examiner is requested to make these references of official record in the application. The references cited may be material to examination of the application and are submitted in compliance with Applicant's duty of disclosure as defined by 37 C.F.R. § 1.56.

Respectfully submitted, Clifford L. Hannel et al.

March 1, 2006

By:

Kenneth M. Kaslow, Reg. No. 32,246

Tenneth M. Kuslow

Carr & Ferrell LLP 2200 Geng Road

Palo Alto, California 94303

Telephone: 1.650.812.3400 Facsimile: 1.650.812.3444

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#### **INFORMATION DISCLOSURE** STATEMENT BY APPLICANT

(Use as many sheets as necessary)

Sheet of

Complete if Known				
Application Number	10/019,101			
Filing Date	December 20, 2001			
First Named Inventor	Hannel et al.			
Art Unit	2161			
Examiner Name	Leroux			
Attorney Docket Number	PA3545US			

				DOCUMENTS	
Examiner Initials*	Cite No. <sup>1</sup>	Document Number  Number-Kind Code <sup>2 (# known)</sup>	Publication Date MM-DD-YYYY	Name of Patentee or Applicant of Cited Document	Pages, Columns, Lines, Where Relevant Passages or Relevant Figures Appear
		<sup>US-</sup> 4919545	04-24-1990	Yu	rigules Appeal
	<del>                                     </del>	<sup>US-</sup> 4956769			
	ļ		09-11-1990	Smith	
		<sup>US-</sup> 4961224	10-02-1990	Yung	
		<sup>US-</sup> 5012405	04-30-1991	Nishikado et al.	
		<sup>US-</sup> 5117349	05-26-1992	Tirfing et al.	
		<sup>US-</sup> 5220604	06-15-1993	Gasser et al.	
		<sup>US-</sup> 5249230	09-28-1993	Mihm et al.	
		<sup>US-</sup> 5263157	11-16-1993	Janis	
		<sup>US-</sup> 5263158	11-16-1993	Janis	
		<sup>US-</sup> 5263165	11-16-1993	Janis	
		<sup>US-</sup> 5265221	11-23-1993	Miller	
		<sup>US-</sup> 5276735	01-04-1994	Boebert et al.	
		<sup>US-</sup> 5276870	01-04-1994	Shan et al.	
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		<sup>US-</sup> 5423034	06-06-1995	Cohen-Levy et al.	
		<sup>US-</sup> 5438508	08-01-1995	Wyman	
		<sup>US-</sup> 5442342	08-15-1995	Kung	
[		<sup>US-</sup> 5446903	08-29-1995	Abraham et al.	

		FORE	IGN PATENT DOCL	JMENTS		-
Examiner Initials*	Cite No. <sup>1</sup>	te Foreign Patent Document Publica	Publication Date	Name of Patentee or Applicant of Cited Document	Pages, Columns, Lines, Where Relevant Passages	
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		UK 2317539	03-25-1998	Secure Computin		T
		WO 96/05549	02-22-1996	Internet Dyn.		
		WO 97/00471	01-03-1997	Checkpoint Soft	·	Г
		WO 00/00879	01-06-2000	Internet Dyn.		┢
		EP 0736827	10-09-1996	Hewlett Packard		

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INTORMATION DISCLOSURE		
	First Named Inventor	Hannel et al.
STATEMENT BY APPLICANT	Art Unit	2161
(Use as many sheets as necessary)	Examiner Name	Leroux
Sheet 2 of 7	Attorney Docket Number	PA3545US

Cito	Dogger and Nivert			
No.1		MM-DD-YYYY	Name of Patentee or Applicant of Cited Document	Pages, Columns, Lines, Where Relevant Passages or Relevan Figures Appear
	<sup>US-</sup> 5455945	10-03-1995	VanderDrift	· · · · · · · · · · · · · · · · · · ·
	<sup>US-</sup> 5455953	10-03-1995	Russell	
	<sup>US-</sup> 5534855	07-09-1996	Shockley et al.	
		09-03-1996	Parrish et al.	
		10-22-1996	Futral	
		07-29-1997	O'Kelly	
		10-07-1997	Montague et al.	
	<sup>US-</sup> 5696898	12-09-1997	Baker et al.	
	<sup>US-</sup> 5701458	12-23-1997	Bsaibes et al.	
		01-06-1998	Tabuki	
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		05-26-1998	Singh et al.	
	<sup>US-</sup> 5771291	06-23-1998	Newton et al.	
	US-			
	US-			
	Cite No.1	Number-Kind Code <sup>2</sup> (f known)  US- 5455945  US- 5455953  US- 5534855  US- 5553282  US- 5568613  US- 5652787  US- 5675782  US- 5696898  US- 5701458  US- 5706427  US- 5721908  US- 5720023  US- 5720023  US- 5729734  US- 57552245  US- 5758083  US- 5771291  US-	Cite No.¹         Document Number         Publication Date MM-DD-YYYY           US- 5455945         10-03-1995           US- 5455953         10-03-1995           US- 5534855         07-09-1996           US- 5553282         09-03-1996           US- 5568613         10-22-1996           US- 5652787         07-29-1997           US- 5675782         10-07-1997           US- 5696898         12-09-1997           US- 5701458         12-23-1997           US- 5706427         01-06-1998           US- 5720023         02-17-1998           US- 5720033         02-17-1998           US- 5752245         05-12-1998           US- 5758083         05-26-1998           US- 5771291         06-23-1998	Number-Kind Code <sup>2 (f known)</sup>

		FORE	<b>IGN PATENT DOCU</b>	MENTS		
Examiner Initials*	Cite No.1	Foreign Patent Document	Publication Date	Name of Patentee or Applicant of Cited Document	Pages, Columns, Lines, Where Relevant Passages	Π
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Substitute for form 14	49/PTO		Complete if Known		
			Application Number	10/019,101	
INFORMA	TION DI	SCI OSLIDE	Filing Date	December 20, 2001	
INFORMATION DISCLOSURE STATEMENT BY APPLICANT (Use as many sheets as necessary)		First Named Inventor	Hannel et al.		
		Art Unit	2161		
		Examiner Name	Leroux		
eet 3	of	7	Attorney Docket Number	PA3545US	

Examiner	Cite	Document Number	Publication Date	T DOCUMENTS  Name of Patentee or	
Initials*	No.1	Number-Kind Code <sup>2 (# known)</sup>	MM-DD-YYYY	Applicant of Cited Document	Pages, Columns, Lines, Where Relevant Passages or Relevant Figures Appear
		<sup>US-</sup> 5774650	06-30-1998	Chapman et al.	
		<sup>US-</sup> 5787427	07-28-1998	Benantar et al.	
		<sup>US-</sup> 5787428	07-28-1998	Hart	·
		<sup>US-</sup> 5793964	08-11-1998	Rogers et al.	
		<sup>US-</sup> 5796951	08-18-1998	Hamner et al.	
		<sup>US-</sup> 5826010	10-20-1998	Joseph et al.	
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		<sup>US-</sup> 5841970	11-24-1998	Tabuki	
		<sup>US-</sup> 5859978	01-12-1999	Sonderegger et al.	
		<sup>US-</sup> 5862325	01-19-1999	Reed et al.	
		<sup>US-</sup> 5864683	01-26-1999	Boebert et al.	
		<sup>US-</sup> 5898830	04-27-1999	Wesinger, Jr. et al.	
		US- 5911143	06-08-1999	Deinhart et al.	
		<sup>US-</sup> 5911776	06-15-1999	Guck	
		<sup>US-</sup> 5931917	08-03-1999	Nguyen et al.	
		<sup>US-</sup> 5941947	08-24-1999	Brown et al.	
		<sup>US-</sup> 5951649	09-14-1999	Dobbins et al.	

		FORE	<b>IGN PATENT DOCU</b>	MENTS		
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heet	4 of 7	.Attorney Docket Number	PA3545US

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		<sup>US-</sup> 5956715	09-21-1999	Glasser et al.	
	İ.,	<sup>US-</sup> 5987611	11-16-1999	Freund	
		<sup>US-</sup> 5991807	11-23-1999	Schmidt et al.	
		<sup>US-</sup> 6178505	01-23-2001	Schneider et al.	
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		<sup>US-</sup> 6408336	06-18-2002	Schneider et al.	
		<sup>US-</sup> 6785728	08-31-2004	Schneider et al.	
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		FORE	<b>IGN PATENT DOCU</b>	MENTS		
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Sheet	. 5	of	7	Attorney Docket Number	PA3545US

Examiner	Cito	NON PATENT LITERATURE DOCUMENTS	
Initials*	Cite No. <sup>1</sup>	Include name of the author (in CAPITAL LETTERS), title of the article (when appropriate), title of the item (book, magazine, journal, serial, symposium, catalog, etc.), date, page(s), volume-issue number(s), publisher, city and/or country where published.	T <sup>2</sup>
		AZIZ et al., "Simple Key-Management for Internet Protocols (SKIP)," Proc. of INET, 1995.	
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		MARRIOTT et al., "Management Policy Service for Distributed Systems," IEEE 1996.	
		FORD, William, "Administration in a Multiple Policy/Domain Environment: The Administration and Melding of Disparate Policies," IEEE 1995.	
		SANDHU et al., "Access Control: Principles and Practice,' IEEE Communications Magazine, September 1994.	
	····	HERZOG, Shai, "Local Policy Modules (LPM): Policy Enforcement for Resource Reservation Protocols," Internet Draft, June 1996.	
		"Access Control List View for Objects," IBM Technical Disclosure Bulletin, Vol. 35, Issue 5, October 1992.	
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		EDWARDS, K., "Policies and Roles in Collaborative Applications," Proc. of the ACM 1996 Conf. on Computer Supported Cooperative Work, Nov. 1996.	

Examiner	Date	
Signature	Considered	
3		

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,			Examiner Name	Leroux
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Examiner	Cite No.1	NON PATENT LITERATURE DOCUMENTS  Include name of the author (in CAPITAL LETTERS), title of the article (when appropriate), title of	<u> </u>
Initials*	No.'	the item (book, magazine, journal, serial, symposium, catalog, etc.), date, page(s), volume-issue number(s), publisher, city and/or country where published.	T <sup>2</sup>
		LAMPSON et al., "Authentication in Distributed Systems: Theory and Practice," Proc. of the 13th ACM Symp. on Operating Systems Principles, Oct. 1991.	
		GLADNEY, H., "Access Control for Large Collections," ACM Trans. on Information Systems, Vol. 15, No. 2, Apr. 1997.	
		SHEN et al., "Access Control for Collaborative Environments," Conf. Proc. on Computer-Supported Collaborative Work, ACM, Nov. 1992.	·
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		YU, C. "Access Control and Authorization Plan for Customer Control of Network Services," IEEE Global Telecommunications Conference and Exhibition, Vol. 2, Nov. 1989.	
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		"Commercial Firewalls and Related FW Products," March 1996.	
		"Five Domains of Network Security: Technical Overview of the Eagle," Jan. 1997.	
		"Firewalls and Security Related Information"	

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	te for form 1449				Complete if Known
				Application Number	10/019,101
			CLOSUF		December 20, 2001
STA	TEMEN	IT BY A	PPLICAN	T First Named Inventor	Hannel et al.
	(Use as ma	nny sheets as n	ecessarv)	Art Unit	2161
				Examiner Name	Leroux
Sheet	7	of	7	Attorney Docket Number	PA3545US

		NON PATENT LITERATURE DOCUMENTS	
Examiner Initials*	Cite No. <sup>1</sup>	Include name of the author (in CAPITAL LETTERS), title of the article (when appropriate), title of the item (book, magazine, journal, serial, symposium, catalog, etc.), date, page(s), volume-issue number(s), publisher, city and/or country where published.	T <sup>2</sup>
		"Checkpoint FireWall-1," Metadigm Ltd., 1996.	
		Computer Dictionary, 2d ed., Microsoft Press, Redmond, Washington, p. 215, Oct. 1993.	
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Substitute for form 1449/PTO

# Complete if Known Application Number 10/019,101 Filing Date December 20, 2001 First Named Inventor Hannel et al. Art Unit 2161 Examiner Name Leroux

### INFORMATION DISCLOSURE STATEMENT BY APPLICANT

STATEMENT BY APPLICANT
(Use as many sheets as necessary)

Sheet 1 of 7 Attomey Docket Number PA3545US

			U. S. PATEN	DOCUMENTS	
Examiner Initials*	Cite No. <sup>1</sup>	Document Number  Number-Kind Code <sup>2 (# known)</sup>	Publication Date MM-DD-YYYY	Name of Patentee or Applicant of Cited Document	Pages, Columns, Lines, Where Relevant Passages or Relevant
		US- 4919545	04.04.4000	V	Figures Appear
			04-24-1990	Yu	
		<sup>US-</sup> 4956769	09-11-1990	Smith	
		<sup>US-</sup> 4961224	10-02-1990	Yung	
		<sup>US-</sup> 5012405	04-30-1991	Nishikado et al.	
-		<sup>US-</sup> 5117349	05-26-1992	Tirfing et al.	
		<sup>US-</sup> 5220604	06-15-1993	Gasser et al.	
		<sup>US-</sup> 5249230	09-28-1993	Mihm et al.	
		<sup>US-</sup> 5263157	11-16-1993	Janis	
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		<sup>US-</sup> 5263165	11-16-1993	Janis	
		<sup>US-</sup> 5265221	11-23-1993	Miller	
		<sup>US-</sup> 5276735	01-04-1994	Boebert et al.	
		<sup>US-</sup> 5276870	01-04-1994	Shan et al.	
		<sup>US-</sup> 5276901	01-04-1994	Howell et al.	
		US- 5335346	08-02-1994	Fabbio	
		<sup>US-</sup> 5423034	06-06-1995	Cohen-Levy et al.	
		<sup>US-</sup> 5438508	08-01-1995	Wyman	
		<sup>US-</sup> 5442342	08-15-1995	Kung	
	]	<sup>US-</sup> 5446903	08-29-1995	Abraham et al.	

		FORE	<b>IGN PATENT DOCU</b>	JMENTS		
Examiner Cite Initials* No.1	Foreign Patent Document	Publication Date	Name of Patentee or Applicant of Cited Document	Pages, Columns, Lines, Where Relevant Passages	Ī	
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		UK 2317539	03-25-1998	Secure Computin		-
		WO 96/05549	02-22-1996	Internet Dyn.		
		WO 97/00471		Checkpoint Soft		┢
		WO 00/00879	01-06-2000	Internet Dyn.		r
		EP 0736827		Hewlett Packard		Г
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(Use as many sheets as necessary)	Examiner Name	Leroux	
heet 2 of 7	Attorney Docket Number	PA3545US	

Sheet

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		<sup>US-</sup> 5455945	10-03-1995	VanderDrift	·
		<sup>US-</sup> 5455953	10-03-1995	Russell	
		<sup>US-</sup> 5534855	07-09-1996	Shockley et al.	
		<sup>US-</sup> 5553282	09-03-1996	Parrish et al.	
		<sup>US-</sup> 5568613	10-22-1996	Futral	
		<sup>US-</sup> 5652787	07-29-1997	O'Kelly	
		<sup>US-</sup> 5675782	10-07-1997	Montague et al.	
		<sup>US-</sup> 5696898	12-09-1997	Baker et al.	
		<sup>US-</sup> 5701458	12-23-1997	Bsaibes et al.	
		<sup>US-</sup> 5706427	01-06-1998	Tabuki	
		<sup>US-</sup> 5721908	02-24-1998	Lagarde et al.	
		<sup>US-</sup> 5720023	02-17-1998	Putland et al.	
		<sup>US-</sup> 5720033	02-17-1998	Deo	
		<sup>US-</sup> 5729734	03-17-1998	Parker et al.	
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		<sup>US-</sup> 5758083	05-26-1998	Singh et al.	
		<sup>US-</sup> 5771291	06-23-1998	Newton et al.	
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		FOREI	<b>GN PATENT DOCU</b>	MENTS		$\overline{}$
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		<sup>US-</sup> 5774650	06-30-1998	Chapman et al.	
		<sup>US-</sup> 5787427	07-28-1998	Benantar et al.	
		<sup>US-</sup> 5787428	07-28-1998	Hart	
		<sup>US-</sup> 5793964	08-11-1998	Rogers et al.	
		<sup>US-</sup> 5796951	08-18-1998	Hamner et al.	
		<sup>US-</sup> 5826010	10-20-1998	Joseph et al.	
,		<sup>US-</sup> 5828832	10-27-1998	Holden et al.	
		US- 5828833	10-27-1998	Belville et al.	
		<sup>US-</sup> 5835726	11-10-1998	Shwed et al.	
		<sup>US-</sup> 5841970	11-24-1998	Tabuki	
		<sup>US-</sup> 5859978	01-12-1999	Sonderegger et al.	
		<sup>US-</sup> 5862325	01-19-1999	Reed et al.	
		<sup>US-</sup> 5864683	01-26-1999	Boebert et al.	
		<sup>US-</sup> 5898830	04-27-1999	Wesinger, Jr. et al.	
		<sup>US-</sup> 5911143	06-08-1999	Deinhart et al.	
		<sup>US-</sup> 5911776	06-15-1999	Guck	
		<sup>US-</sup> 5931917	08-03-1999	Nguyen et al.	
		<sup>US-</sup> 5941947	08-24-1999	Brown et al.	
		<sup>US-</sup> 5951649	09-14-1999	Dobbins et al.	

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		<sup>US-</sup> 5956715	09-21-1999	Glasser et al.	
		<sup>US-</sup> 5987611	11-16-1999	Freund	
		<sup>US-</sup> 5991807	11-23-1999	Schmidt et al.	
		<sup>US-</sup> 6178505	01-23-2001	Schneider et al.	
		<sup>US-</sup> 6253251	06-26-2001	Benantar et al.	
		<sup>US-</sup> 6408336	06-18-2002	Schneider et al.	
		<sup>US-</sup> 6785728	08-31-2004	Schneider et al.	
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		"Access Control List View for Objects," IBM Technical Disclosure Bulletin, Vol. 35, Issue 5, October 1992.	
		MARRIOTT et al, "Implementation of a Management Agent for Interpreting Obligation Policy," IEEE/IFIP 7th Int'l Workshop on Distributed Operations and Management, 1996.	
		EDWARDS, K., "Policies and Roles in Collaborative Applications," Proc. of the ACM 1996 Conf. on Computer Supported Cooperative Work, Nov. 1996.	
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Sheet 6 of 7

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		LAMPSON et al., "Authentication in Distributed Systems: Theory and Practice," Proc. of the 13th ACM Symp. on Operating Systems Principles, Oct. 1991.	
		GLADNEY, H., "Access Control for Large Collections," ACM Trans. on Information Systems, Vol. 15, No. 2, Apr. 1997.	١
		SHEN et al., "Access Control for Collaborative Environments," Conf. Proc. on Computer-Supported Collaborative Work, ACM, Nov. 1992.	
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		YU, C. "Access Control and Authorization Plan for Customer Control of Network Services," IEEE Global Telecommunications Conference and Exhibition, Vol. 2, Nov. 1989.	
		TOY, M., "AT&T's Electronic Mail Service for Government UsersFTS2000MAIL," Globecom '92, IEEE, Vol. 2, Dec. 1992.	
		"Commercial Firewalls and Related FW Products," March 1996.	
		"Five Domains of Network Security: Technical Overview of the Eagle," Jan. 1997.	
		"Firewalls and Security Related Information"	

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٠				Application Number	10/019,101				
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STA	TEMENT E	BY A	PPLICANT	First Named Inventor	Hannel et al.				
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		"Checkpoint FireWall-1," Metadigm Ltd., 1996.	
		Computer Dictionary, 2d ed., Microsoft Press, Redmond, Washington, p. 215, Oct. 1993.	
		,	

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